

<b>STALLMAN &amp; POLLOCK LLP</b>  Intellectual Property Attorneys  353 Sacramento Street, Suite 2200 San Francisco, CA 94111  Telephone: (415) 772-4900 Facsimile: (415) 398-2890	<b>TO:</b> Examiner Ella Colbert Group Art Unit 3624 Commissioner for Patents Washington, D.C. 20231	<b>RECEIVED</b> <b>CENTRAL FAX CENTER</b>  JAN 18 2005
	<b>FAX:</b> 703-872-9306 <b>PHONE:</b> 703-308-7064 <b>FROM:</b> BRIAN J. KEATING  Telephone: (415) 772-4900 Facsimile: (415) 398-2890  Email: bkeating@stallmanpollock.com  <b>DATE:</b> January 18, 2005 <b>PAGES:</b> 13 (including cover)  If you did not receive all of the pages in this fax, please contact Georgia K. Stith at (415) 772-4900, Ext. 106.  <b>OUR FILE NUMBER:</b> SCHB-2700  <b>RETURN TO:</b> G. Stith	

**MESSAGE: Re: U.S. Appl. No. 09/654,627, filed September 5, 2000**

Examiner Colbert,

Following up on our conversation earlier today, attached is a copy of the response we filed today to the outstanding office action. As requested we filed the response via facsimile to the Group Art fax machine. Also, as requested I am faxing the response to the other fax machine number you previously provided to me.

Respectfully submitted,  
Brian Keating (Reg. No. 39,520)

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**STALLMAN & POLLOCK LLP**

Intellectual Property Attorneys

353 Sacramento Street  
Suite 2200  
San Francisco, CA 94111Telephone: (415) 772-4900  
Facsimile: (415) 398-2890**FAXED****TO:** Attn: Examiner Ella Colbert  
Group Art Unit 3624  
Commissioner for Patents  
Washington, D.C. 20231**FAX:** 703-872-9306**PHONE:** 703-308-7064**FROM:** BRIAN J. KEATINGTelephone: (415) 772-4900 Ext. 104  
Facsimile: (415) 398-2890

Email: bkeating@stallmanpollock.com

**DATE:** January 18, 2005**TIME:****PAGES:** 12 (including cover)If you did not receive all of the pages in this fax, please  
contact Georgia K. Stith at (415) 772-4900 Ext. 106.**OUR FILE NUMBER:** SCHB-2700**RETURN TO:** G. Stith**Regarding U.S. Appln. No. 09/654,627, filed September 5, 2000****FACSIMILE CERTIFICATE**Date of Deposit: January 18, 2005I hereby certify that this correspondence is, on the date shown below, being transmitted by facsimile to the  
U.S. Patent and Trademark Office by using the following facsimile number: 703-872-9306

STALLMAN &amp; POLLOCK LLP

Date: January 18, 2005By: Georgia K. Stith

Georgia K. Stith

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STALLMAN & POLLOCK LLP  
353 Sacramento Street, Suite 2200  
San Francisco, CA 94111  
(415) 772-4900

In re Patent Application of: James Peterson et al.

Atty Docket No. SCHB-2700

Application No.: 09/654,627

Filed: September 5, 2000

Confirmation No.: 7438

For: SYSTEM AND METHOD FOR TAX SENSITIVE PORTFOLIO OPTIMIZATION

M/S AMENDMENT

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

Sir:

Transmittal herewith is an amendment in the above-identified application.

The fee has been calculated as shown below.

	CLAIMS REMAINING AFTER AMENDMENT		HIGHEST NO. PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE	ADDITIONAL FEE
TOTAL	2	MINUS	26	0	x \$50 =	\$0
INDEP.	1	MINUS	3	0	x \$200 =	\$0
FIRST PRESENTATION OF MULTIPLE DEP CLAIMS					+ \$360	\$0
TOTAL						\$0

Small Entity 50% Filing Fee Reduction (if applicable)

\$0

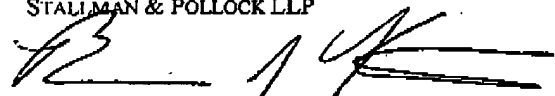
- \* If the entry in Col. 1 is less than the entry in Col. 2, write "0" in Col. 3  
 \*\* If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, write "20" in this space.  
 \*\*\* If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, write "3" in this space. The "Highest Number Previously Paid For" (Total or Independent is the highest number found from the equivalent box in Col. 1 of a prior amendment or the number of claims originally filed.)

- ☐ No additional fee is required.
- ☒ Applicant(s) hereby petition(s) for a one-month extension of time in which to file the present response and enclose(s) herewith the necessary fee to accompany this petition. Please debit Deposit Account No. 50-1703 in the amount of \$120.00 in payment of the 1-month extension fee.
- ☒ Please charge any additional fees, including any fees necessary for extensions of time or credit overpayment to Deposit Account No. 50-1703, under Order No. SCHB-2700.  
A duplicate copy of this sheet is enclosed.

STALLMAN &amp; POLLOCK LLP

Dated: January 18, 2005

By:

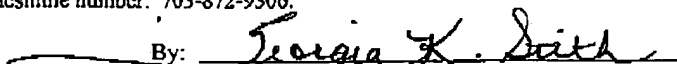
  
 Brian J. Keating (Reg. No. 39,520)  
 Attorneys for Applicant(s)

## FACSIMILE CERTIFICATE

I hereby certify that this correspondence is, on the date shown below, being transmitted by facsimile to the U.S. Patent and Trademark Office by using the following facsimile number: 703-872-9306.

Dated: January 18, 2005

By:

  
 Georgia K. Smith

09/654,627

PATENT

-1-

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of

James Peterson et al.

Application No.: 09/654,627

Filed: September 5, 2000

For: SYSTEM AND METHOD FOR TAX  
SENSITIVE PORTFOLIO  
OPTIMIZATION

Confirmation No.: 7438

Group Art Unit: 3624

Examiner: Ella Colbert

**RESPONSE TO OFFICE ACTION  
MAILED OCTOBER 13, 2004**353 Sacramento Street, Suite 2200  
San Francisco, CA 94111  
Telephone: (415) 772-4900  
Facsimile: (415) 398-2890RECEIVED  
CENTRAL FAX CENTER  
JAN 18 2005M/S AMENDMENT  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450**FACSIMILE CERTIFICATE**Date of Deposit: January 18, 2005I hereby certify that this correspondence is, on the date shown below, being transmitted by facsimile to the U.S. Patent and Trademark Office by using the following facsimile number:  
703-872-9306

STALLMAN &amp; POLLOCK LLP

Dated: 01/18/2005By: Georgia K. Stith

Georgia K. Stith

**VIA FACSIMILE - 703-872-9306**

Sir:

In response to the Office Action mailed October 13, 2004, and in conjunction with Applicants' request for a one-month extension of time filed herewith, please amend the above-identified application as follows:

**Amendment to the Claims** are reflected in the listing of claims which begins on page 2 of this paper.

**Remarks/Arguments** begin on page 4 of this paper.

Atty Docket No.: SCHB-2700